

**NONPROFIT ORGANIZATION**  
**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 C.F.R. 1.27(a)(3)) – NONPROFIT ORGANIZATION**

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: The Regents of the University of California  
ADDRESS OF 1111 Franklin Street, 12<sup>th</sup> Floor  
ORGANIZATION: Oakland, California 94607

**TYPE OF NONPROFIT ORGANIZATION:**

- a) ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
b) ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
c) ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)  
d) ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA  
e) ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(NAME OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. 1.27(a)(3) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention, entitled: **GENETIC MARKER OF RESPONSE TO ATYPICAL ANTIPSYCHOTICS AND ANTIDEPRESSANTS AND METHODS FOR USE THEREOF** by inventor(s) Ernest P. Noble, Ross M. Young, and Bruce R. Lawford described in:

- ☒ PCT International Application No. PCT/US2004/022064, filed in the United States Receiving Office on July 8, 2004.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. 1.27(a)(1) or by any concern which would not qualify as a small business concern under 37 C.F.R. 1.27(a)(2) or a nonprofit organization under 37 C.F.R. 1.27(a)(3). Note that separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.

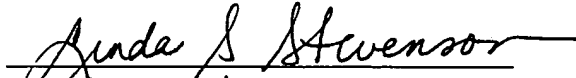
|         |   |   |  |
|---------|---|---|--|
| NAME    | The University of Queensland                                |   |  |
| ADDRESS | Brisbane, Queensland 4072, Australia                        |   |  |
|         | <input type="checkbox"/> INDIVIDUAL                         | <input type="checkbox"/> SMALL BUSINESS | <input checked="" type="checkbox"/> NONPROFIT ORGANIZATION |
| NAME    | State of Queensland acting through Queensland Health        |   |  |
| ADDRESS | 147 – 163 Charlotte Street, Brisbane, Queensland, Australia |   |  |
|         | <input type="checkbox"/> INDIVIDUAL                         | <input type="checkbox"/> SMALL BUSINESS | <input checked="" type="checkbox"/> NONPROFIT ORGANIZATION |

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as small entity is no longer appropriate. (37 C.F.R. 1.27(g)(1) and (2)).

NAME: Linda S. Stevenson  
TITLE: Manager, Patent Prosecution

ADDRESS: 1111 Franklin Street, 5<sup>th</sup> Floor  
Oakland, California 94607-5200

SIGNATURE:

  
DATE: December 20, 2005

**Box No. VIII (iv) DECLARATION: INVENTORSHIP** (only for the purposes of the designation of the United States of America)  
*The declaration must conform to the following standardized wording provided for in Section 214; see Notes to Boxes Nos. VIII, VIII (i) to (v) (in general) and the specific Notes to Box No. VIII (iv). If this Box is not used, this sheet should not be included in the request.*

**Declaration of inventorship (Rules 4.17(iv) and 51bis.1(a)(iv))  
 for the purposes of the designation of the United States of America:**

I hereby declare that I believe I am the original, first and sole (if only one inventor is listed below) or joint (if more than one inventor is listed below) inventor of the subject matter which is claimed and for which a patent is sought.

This declaration is directed to the international application of which it forms a part (if filing declaration with application).

This declaration is directed to international application No. PCT/US2004/022064 (if furnishing declaration pursuant to Rule 26ter).

I hereby declare that my residence, mailing address, and citizenship are as stated next to my name.

I hereby state that I have reviewed and understand the contents of the above-identified international application, including the claims of said application. I have identified in the request of said application, in compliance with PCT Rule 4.10, any claim to foreign priority, and I have identified below, under the heading "Prior Applications," by application number, country or Member of the World Trade Organization, day, month and year of filing, any application for a patent or inventor's certificate filed in a country other than the United States of America, including any PCT international application designating at least one country other than the United States of America, having a filing date before that of the application on which foreign priority is claimed.

Prior Applications: .....

I hereby acknowledge the duty to disclose information that is known by me to be material to patentability as defined by 37 C.F.R. § 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the PCT international filing date of the continuation-in-part application.

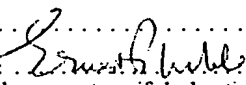
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name: Ernest P. Noble .....

Residence: Laguna Beach, California  
 (city and either US state, if applicable, or country) .....

Mailing Address: University of California, Los Angeles, Box 951759, Room 38-154, NPI  
 Los Angeles, California 90095-1759 .....

Citizenship: US .....

Inventor's Signature:   
 (if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: 7/7/04  
 (of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)

Name: Ross M. Young .....

Residence: Australia  
 (city and either US state, if applicable, or country) .....

Mailing Address: The University of Queensland, 2nd Floor, Psychiatry Department  
 Queensland 4102, Australia .....

Citizenship: New Zealand .....

Inventor's Signature: .....  
 (if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: .....  
 (of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)

☐ This declaration is continued on the following sheet, "Continuation of Box No. VIII (iv)".

**Box No. VIII (iv) DECLARATION: INVENTORSHIP** (only for the purposes of the designation of the United States of America)  
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This declaration is directed to international application No. PCT/US2004/022064 ..... (if furnishing declaration pursuant to Rule 26ter).

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name: Ernest P. Noble .....

Residence: Laguna Beach, California .....

(city and either US state, if applicable, or country)

Mailing Address: University of California, Los Angeles, Bpx.951759, Room.38-154.NPI .....

Los Angeles, California 90095-1759

Citizenship: US .....

Inventor's Signature: .....  
 (if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: .....  
 (of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)

Name: Ross M. Young .....

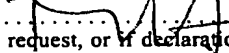
Residence: Australia .....

(city and either US state, if applicable, or country)

Mailing Address: The University of Queensland, 2nd Floor, Psychiatry Department .....

Queensland 4102, Australia

Citizenship: New Zealand .....

Inventor's Signature:  .....  
 (if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: 08/10/04 .....  
 (of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)

☐ This declaration is continued on the following sheet, "Continuation of Box No. VIII (iv)".

**Continuation of Box No. VIII (i) to (v) DECLARATION**

*If the space is insufficient in any of Boxes Nos. VIII (i) to (v) to furnish all the information, including in the case where more than two inventors are to be named in Box No. VIII (iv), in such case, write "Continuation of Box No. VIII ..." (indicate the item number of the Box) and furnish the information in the same manner as required for the purposes of the Box in which the space was insufficient. If additional space is needed in respect of two or more declarations, a separate continuation box must be used for each such declaration. If this Box is not used, this sheet should not be included in the request.*

Continuation of Box No. VIII (iv):

Name: Bruce R. Lawford

Residence: Australia

Mailing Address: Royal Brisbane Hospital, HADS Unit RBH  
Queensland 4029, Australia

Citizenship: Australia

Inventor's Signature:

*B. R. Lawford*

Date:

*8/10/09*